

**U.S. SECURITIES AND EXCHANGE COMMISSION  
PUBLIC NOTICE OF VACANCY**

**NUMBER: ESHA-090-TR**

**Opens: December 9, 2003**

**Closes: January 9, 2004**

**THIS IS A BARGAINING UNIT POSITION**

**This position can also be filled from announcement number: ESHA-086-TR**

---

***SECURITIES COMPLIANCE EXAMINER (Information Systems), SK-1831-12/13***

**Grades/Salaries:** SK-12: \$80,710 - \$103,407 per annum  
SK-13: \$95,975 - \$122,965 per annum

**Vacancies:** Two

**Promotion Potential:** SK-13

**Appointment/Schedule:** Career/Career-Conditional  
Full-Time

**Location:** Office of Assoc Regional Dir (BD)  
Northeast Regional Office  
New York, NY

(This is a public notice with multiple cut offs. In order to be considered for a specific cut off period, your application must be received by the last day of the cut off period: First cut off: 12/23/03 and Final cut off: 01/09/04)

**U.S. Citizenship is required  
Moving Expenses will not be paid**

---

***WHAT WORK WILL YOU PERFORM***

***As a Securities Compliance Examiner (Information Systems), you will:***

- Serve as technical advisor to examination teams throughout the Examination Program.
- Conduct compliance examinations of registered investment companies, investment advisers, broker-dealers and transfer agents.
- Research and analyze available software and hardware systems and internal and external databases and oversee their use by examiners for examinations and projects in the Examination Program.
- Provide technical support assistance for examinations throughout the Examinations Program, including the planning, managing, analyzing and maintaining of electronic data and document collections.
- Work with Program staff to craft language for requests of data and information from electronic storage systems of investment companies, investment advisers, broker-dealers and transfer agents.
- Negotiate file and media formats for electronic productions and determine the best approach for loading and viewing data.
- Examine and analyze electronic internal control and compliance systems of investment companies, investment advisers, broker-dealers and transfer agents.
- Train examination staff in the analysis of electronic systems and in obtaining and analyzing electronic data and information gathered during examinations.
- Prepare reports of examinations and recommendations for analysis, organization and storage of data and information and the use of software and hardware systems by the examination staff.
- Analyze and use large-scale systems on local/wide area networks used in the securities industry to process and record financial transactions.

---

**BENEFITS:** SEC provides the following benefits - Thrift Savings Program, Federal Employees' Health Benefits Program, Work Life Programs, Federal Employees' Group Life Insurance Program, Annual and Sick Leave, Long Term Disability, and Flexible Spending Account.

## **WHAT ARE THE QUALIFICATION REQUIREMENTS**

***Candidates must meet the Specialized Experience and Mandatory Selective Factor below.***

**SPECIALIZED EXPERIENCE:** Applicant must have one full year (52 weeks) of specialized experience at a level of difficulty equivalent to the next lower grade in the Federal service (e.g., GS/SK-11 for the SK-12 position and GS/SK-12 for the SK-13 position) or equivalent private sector experience. Specialized experience must clearly demonstrate that he/she possesses knowledge of: 1) Conducting compliance examinations of registered investment companies, investment advisers, broker/dealers and transfer agents; 2) Analyzing and using large-scale systems on local/wide area networks used in the securities industry to process and record financial transactions.

---

### **MANDATORY SELECTIVE FACTOR**

The mandatory selective factor is essential to perform the duties of this position. Please include a narrative that clearly addresses how you meet this mandatory selective factor. If your application does not clearly show you meet the mandatory selective factor, you will **not** receive further consideration for the position.

- Analysis and use of large-scale systems on local/wide area networks used in the securities industry to process and record financial transactions.

---

### **ICTAP ELIGIBLES**

If you are a displaced Federal employee, you must attach to the front of your application proof of eligibility such as an SF-50 and/or RIF letter. If you are a displaced Federal employee separated within the local commuting area of the position, your application will be reviewed to determine whether you meet the minimum qualification requirements and, if you are found minimally qualified, then your application will be rated to determine whether you meet the well-qualified criterion established for the position. A well-qualified displaced employee will be referred before any other qualified candidates. ICTAP eligible candidates will be evaluated against the following factor to determine if they are well qualified:

- Experience that demonstrates ability to analyze and evaluate complex electronic transaction processing and financial data record-keeping systems, electronic internal control systems and electronic compliance systems.

---

### **HOW TO APPLY**

Candidates **MUST** submit:

- A résumé; the Optional Application for Federal Employment; or any other written format of your choice which clearly identifies; 1) The announcement number, title, series, and grade of the job you applied for and 2) Information required in the attached SEC Employment Guide. If you are a Federal employee please be sure to provide your current position title, series, grade and step and date of your last within grade increase or promotion.
- Veterans should provide a copy of a DD-214 verifying honorable military service.
- Where appropriate, transcript (proof of degree with appropriate courses) must be provided by time of interview.

If you do not provide all the information requested, you may lose consideration for this position. None of these forms will be subsequently loaned or returned to applicants.

---

### **FILING APPLICATIONS**

Applications must be postmarked on or before the closing date of the vacancy announcement. For consideration, applicants must meet qualifications on or before closing date of announcement.

---

## **WHERE TO SEND APPLICATIONS**

*U.S. Securities and Exchange Commission  
6432 General Green Way, Mail Stop 0-1  
Alexandria, VA 22312  
Attention: Donna Diller  
Email: [dillerd@sec.gov](mailto:dillerd@sec.gov)  
FAX: 703-914-0556*

**FOR ADDITIONAL VACANCIES THAT MAY BE AVAILABLE VISIT: [WWW.SEC.GOV/JOBS.SHTML](http://WWW.SEC.GOV/JOBS.SHTML)**

***Security Clearance: The individual selected may be subject to a security investigation. Favorable results on a Background Investigation may be a condition of employment or selection to another position.***

### **EQUAL EMPLOYMENT OPPORTUNITY**

***Candidates will be considered without regard to any non-merit reason such as race, color, religion, age, sex, sexual orientation, national origin, or disability. Disabled veterans, individuals with disabilities and veterans eligible for special OPM appointing authorities are strongly encouraged to apply.***

***SEC provides reasonable accommodations to applicants with disabilities. If you need a reasonable accommodation for any part of the application and hiring process, please notify the agency's Disabilities Coordinator, OAPM. The decision on granting reasonable accommodations will be on a case-by-case basis.***

**ESHA JOB POSTING  
EMPLOYMENT GUIDE**  
U.S. Securities and Exchange Commission  
Office of Administrative and Personnel Management (Mail Stop 0-1A)  
6432 General Green Way  
Alexandria, VA 22312

Thoroughly read this guide and provide all information requested.

The information you give is very important because it will help us determine whether you meet the legal requirements for Federal employment and it allows us to evaluate your qualifications for the position.

**JOB  
APPLICATION**

- Apply by submitting a résumé or *Optional Application for Federal Employment* (OF-612).
- Place in the top right corner of each page of your application: job title, grade and job announcement number and geographic location of the position for which you are applying.
- If the job is being advertised at more than one geographic location, a separate application is required for each location.

**LEGAL  
REQUIREMENT  
S**

- Provide your social security number, name, address, home and office phone numbers.
- United States citizenship is required. You must state in your application that you are a U.S. citizen.
- Males over age 18 born after December 31, 1959 must be registered with the Selective Service System or have an exemption.

**EDUCATION &  
TRAINING**

- List any formal education received in an accredited institution. Give full name and address of high school, college, university, law school; type of certificate, diploma, or degree; grade point average; and month, year degree earned (or when you expect to earn your degree).
- You must **submit a copy of or the official college transcript** if the job announcement requires it.

**EXPERIENCE**

- List the job title of your position; name and address of employer; and, supervisor's name and telephone number. **You must show beginning and ending employment dates in month and year (i.e., March 2000, 3/00 or 3/2003). You must show average hours worked per week and starting, ending and/or present salary.**
- Describe (with examples) any work experience related to the specialized experience required by the vacancy announcement. Be explicit about what work you did and what kinds of skills you used in doing it; evaluators of your qualifications cannot read meaning into what you write. Do not assume that the evaluator will understand what work you have done just based on your title, the kind of business you were involved in, or the name of your organization or company.
- **Indicate whether we may contact your present and previous employers.**
- If you are currently or were formerly employed as a civilian in the Federal Government, indicate the highest grade held.

**MANDATORY  
SELECTIVE  
FACTOR  
EVALUATION  
PROCEDURES**

- If a mandatory selective factor is present in the job announcement, candidates must meet it in order to be given consideration for the position.
- A Human Resources Specialist will evaluate your application to determine whether you meet the minimum qualifications (and any mandatory selective factor) specified on the vacancy announcement. All minimally qualified candidates will be referred to the selecting official who will make the final hiring decision.

**SPECIAL  
SELECTION  
PRIORITY**

- This applies only to current or former career or career conditional Federal employees affected by reduction-in-force (RIF). Review your specific RIF notice about your rights and period of eligibility for special priority selection under the Interagency Career Transition Assistance Plan (ICTAP).
- To receive special selection priority as a Federal employee, you must: (1) apply timely for a specific job announcement with no greater promotion potential than the position from which you have been or are being separated; (2) occupy or be displaced from a position in the same

**FILING A JOB  
APPLICATION**

**WHERE TO  
SEND YOUR  
APPLICATION**

local commuting area of the vacancy for which you are requesting priority consideration; (3) have a current (or last) performance rating of record of at least fully successful; and (4) determined to be well-qualified as a displaced Federal employee for the SEC position.

- If you meet the SEC's well-qualified criterion, your application will be referred to the selecting official before any other qualified candidate inside or outside the Federal Government.

You may:

1. Mail your application (or applications if applying for more than one geographic location) through the U.S. Postal Service. Mailed applications must be received by the closing date stated on the announcement.
2. E-mail or fax your application (or applications if applying for more than one geographic location) to the e-mail address or phone number listed on the announcement. Applications must be received by the closing date specified on the announcement.

U.S. Securities and Exchange Commission  
Office of Administrative and Personnel Management (Mail Stop 0-1A)  
Attention: Donna Diller  
6432 General Green Way  
Alexandria, VA 22312  
FAX Number: 703-914-0556  
E-mail: [dillerd@sec.gov](mailto:dillerd@sec.gov)